



Attorney Docket No.: 05652.P013XCD

FILE COPY  
Patent

RECEIPT  
#10/CFR  
7/10/03  
Hayes

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Mark W. Miles, et al.

Application No.: 10/082,397

Art Unit: 2873

Filed: February 25, 2002

For: VISIBLE SPECTRUM MODULATOR  
ARRAYS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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JUL 12 2003  
10 2000 MAIL ROOM

REQUEST TO CORRECT AN ERROR IN THE FILING RECEIPT

Sir:

Applicants respectfully note that the Assignment For Published Patent Application erroneously lists Etalon, Inc., a MA corporation. The name should be Iridigm Display Corporation, a Delaware corporation.

Therefore, correction with respect to the above listed in the Filing Receipt of the present application is respectfully requested. Enclosed is a copy of the Filing Receipt marked with the appropriate corrections and a copy of the Notice of Recordation of Assignment Document.

Certificate of First Class Mail

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

5-13-03

(Date of Deposit)

Dawn R. Shaw

(Typed or printed name of person mailing correspondence)

Dawn R. Shaw  
Signature

5-13-03

Date


Please correct your records to reflect the above information and then forward to us a corrected filing receipt.

If you have any questions, please contact the undersigned.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

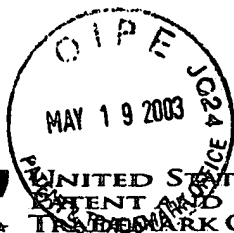
Dated: 5/12/, 2003



---

James H. Salter  
Reg. No.: 35,668

Customer No. 26529  
12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, CA 90025-1030  
(408) 720-8300



JHS  
Iridigm Display Corp.

Commissioner for Patents  
Washington, DC 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/082,397	08/06/2002	2873	561	5652P013XCD	37	12	6

CONFIRMATION NO. 6992

James H. Salter  
Blakely, Sokoloff, Taylor & Zafman LLP  
12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, CA 90025

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UPDATED FILING RECEIPT



\*OC000000009294324\*

DEC 30 2002

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
LOS ANGELES

Date Mailed: 12/26/2002

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Mark W. Miles, San Francisco, CA;

**Assignment For Published Patent Application**

~~Etalon, Inc., a MA corporation;~~ Iridigm Display Corporation  
a Delaware corporation

ENTERED  
JAN 06 2002

**Domestic Priority data as claimed by applicant**

This application is a DIV of 09/378,143 08/20/1999 ABN  
which is a CON of 08/744,253 11/05/1996 PAT 5,986,796  
which is a CON of PCT/US95/05358 05/01/1995

STATUS DB-LA

**Foreign Applications**

If Required, Foreign Filing License Granted: 05/30/2002

Projected Publication Date: 04/03/2003

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

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Visible spectrum modulator arrays

**Preliminary Class**

359

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

05,552.G000

MAY 19 2003

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Merger Assignment Document recorded:

05/21/2002

Assigned Reel/Frame No.: 012721/0123

U.S. Patent And Trademark Office  
Assignment Division  
Box Assignments  
CG-4  
1213 Jefferson Davis Highway, Suite 320  
Washington, D.C. 20231

Examiner, Assignment Division: Jeevon Jones

REQUEST FOR CORRECTION

Dear Examiner Jones:

In the Notice of Recordation of Assignment Document for the above-referenced Merger Assignment Document the Assignee's name was recorded incorrectly as follows:

Iridigin Display Corporation

The correct spelling is as follows:

Iridigm Display Corporation

Please have the Notice of Recordation of Assignment Document changed to reflect the correct spelling of the Assignee's name. Enclosed is a copy of the Notice of Recordation of Assignment Document and with the correction noted. Also enclosed is a New Assignment Cover Sheet.

Respectfully submitted,  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 6/12/, 2002

James H. Salter  
Reg. No. 35,668

Customer No. 008791  
12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025  
(408)720-8300

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on June 12, 2002  
Date of Deposit  
Clare Walters  
Name of Person Mailing Correspondence  
Clare Walters 6/12/2002  
Signature Date



STATE OF DELAWARE  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS  
FILED 09:00 AM 10/31/2000  
001550173 - 2930958

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JUN 12 2PM  
10 2000 MAIL ROOM

## CERTIFICATE OF MERGER

OF

ETALON, INC.,  
a Massachusetts corporation

INTO

IRIDIGM DISPLAY CORPORATION,  
a Delaware corporation

Under Section 252(c) of the Delaware General Corporation Law, Iridigm Display Corporation, a Delaware corporation, hereby certifies that:

**FIRST:** The name and state of incorporation of each of the constituent corporations to the merger are (1) Etalon, Inc., a Massachusetts corporation, and (2) Iridigm Display Corporation, a Delaware corporation.

**SECOND:** An agreement and plan of merger (the "Agreement and Plan of Merger") providing for the merger of Etalon, Inc., a Massachusetts corporation (the "Disappearing Corporation"), into Iridigm Display Corporation, a Delaware corporation (the "Surviving Corporation"), has been duly approved, adopted, certified, executed and acknowledged in accordance with Section 252(c) of the Delaware General Corporation Law.

**THIRD:** The full name of the Surviving Corporation is Iridigm Display Corporation.

**FOURTH:** The certificate of incorporation of Iridigm Display Corporation, a Delaware corporation, shall be the certificate of incorporation of the Surviving Corporation.


**FIFTH:** The Agreement and Plan of Merger as executed is on file at the principal place of business of the Surviving Corporation at:

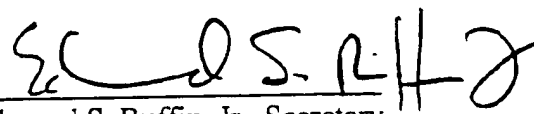
2565 Third Street, Suite 205  
San Francisco, CA 94107

**SIXTH:** A copy of the Agreement and Plan of Merger will be furnished by the Surviving Corporation, on request and without cost, to any stockholder of any constituent corporation.

**SEVENTH:** The aggregate number of shares of stock which the Disappearing Corporation has the authority to issue is 100 shares, all of which shares have no par value and are designated common stock.

Iridigm Display Corporation, a Delaware corporation, has caused this Certificate to be signed in Menlo Park, California, by Erik J. Larson, its President and Edmund S. Ruffin, Jr., its Secretary, who affirm under penalties of perjury that the facts stated in this Certificate are true this October 21, 2000.

By:   
Erik J. Larson, President

By:   
Edmund S. Ruffin, Jr., Secretary

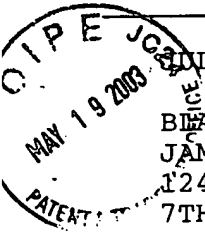


UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

Copy to Iridigm 7/30/02

CORRECTED  
NOTICE

05052 P013xcd  
JHS



JULY 08, 2002

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
JAMES H. SALTER  
12400 WILSHIRE BLVD.  
7TH FLOOR  
LOS ANGELES, CA 90025-1026

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JUL 15 2002

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov



\*102127572A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

ENTERED  
JUL 17 2002  
STATUS DB-LA

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/21/2002

REEL/FRAME: 012721/0123  
NUMBER OF PAGES: 4

BRIEF: MERGER (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
ETALON, INC.

DOC DATE: 10/31/2000

ASSIGNEE:  
IRIDIGM DISPLAY CORPORATION, A  
CORPORATION OF DELAWARE  
2415 THIRD STREET, SUITE 235  
SAN FRANCISCO, CALIFORNIA 94107

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SERIAL NUMBER: 08032711  
PATENT NUMBER:

FILING DATE: 03/17/1993  
ISSUE DATE:

SERIAL NUMBER: 08554630  
PATENT NUMBER:

FILING DATE: 11/06/1995  
ISSUE DATE:

SERIAL NUMBER: 08769947  
PATENT NUMBER:

FILING DATE: 12/19/1996  
ISSUE DATE:

SERIAL NUMBER: 09056975  
PATENT NUMBER:

FILING DATE: 04/08/1998  
ISSUE DATE:

ENTERED  
JHS DB



SERIAL NUMBER: 09378143  
PATENT NUMBER:

FILING DATE: 08/20/1999  
ISSUE DATE:

SERIAL NUMBER: 09413222  
PATENT NUMBER:

FILING DATE: 10/05/1999  
ISSUE DATE:

SERIAL NUMBER: 09966843  
PATENT NUMBER:

FILING DATE: 09/28/2001  
ISSUE DATE:

SERIAL NUMBER: 09974544  
PATENT NUMBER:

FILING DATE: 10/10/2001  
ISSUE DATE:

SERIAL NUMBER: 09991378  
PATENT NUMBER:

FILING DATE: 11/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10012092  
PATENT NUMBER:

FILING DATE: 11/13/2001  
ISSUE DATE:

SERIAL NUMBER: 10076224  
PATENT NUMBER:

FILING DATE: 02/13/2002  
ISSUE DATE:

SERIAL NUMBER: 10078282  
PATENT NUMBER:

FILING DATE: 02/19/2002  
ISSUE DATE:

SERIAL NUMBER: 10082397  
PATENT NUMBER:

FILING DATE: 02/25/2002  
ISSUE DATE:

SERIAL NUMBER: 08238750  
PATENT NUMBER: 5835255

FILING DATE: 05/05/1994  
ISSUE DATE: 11/10/1998

SERIAL NUMBER: 08744253  
PATENT NUMBER: 5986796

FILING DATE: 11/05/1996  
ISSUE DATE: 11/16/1999

SERIAL NUMBER: 08688710  
PATENT NUMBER: 6040937

FILING DATE: 07/31/1996  
ISSUE DATE: 03/21/2000

SERIAL NUMBER: 09238340  
PATENT NUMBER: 6055090

FILING DATE: 01/27/1999  
ISSUE DATE: 04/25/2000

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A  
OMB 0651-0027

06-24-2002



102127572

U.S. Department of Commerce  
Patent and Trademark Office

PATENT

MAY 19 2003

RECORDATION FORM COVER SHEET  
PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

## Submission Type

- ☒ New  
☐ Resubmission (Non-Recordation)

Document ID # \_\_\_\_\_

- ☐ Correction of PTO Error

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

- ☐ Corrective Document

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

## Conveyance Type

- ☐ Assignment ☐ Security Agreement  
☐ License ☐ Change of Name  
☒ Certificate Of Merger ☐ Other \_\_\_\_\_

## U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File

Attorney Docket No: 05652.G000

## Conveying Party (ies)

☐ Mark if additional names of conveying parties attachedExecution Date  
Month Day Year

Name (1st party) Etalon, Inc.

10 31 2000

Name (2nd party) \_\_\_\_\_

Name (3rd party) \_\_\_\_\_

Name (4th party) \_\_\_\_\_

## Receiving Party

☐ Mark if additional names of receiving parties attached

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 1) Iridigm Display Corporation

Name (line 2) a corporation of Delaware

Address (line 1) 2415 Third Street

Address (line 2) Suite 235

Address (line 3) San Francisco

CA

94107

City

State/Country

Zip Code

## Domestic Representative Name and Address

Enter for the first Receiving Party only.

(Complete only if receiving party is not domiciled in the United States)

Name \_\_\_\_\_

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

Address (line 3) \_\_\_\_\_

Address (line 4) \_\_\_\_\_

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Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

FORM PTO-1619B  
OMB 0651-0027

Page 2

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

**Correspondent Name and Address**

Area Code and Telephone Number 408 720-8300

Name James H. Salter

Address (line 1) Blakely Sokoloff Taylor & Zafman LLP

Address (line 2) 12400 Wilshire Boulevard

Address (line 3) Seventh Floor

Address (line 4) Los Angeles CA 90025-1026

**Pages**

Enter the total number of pages of the attached conveyance document.

# 2

**Application Number (s) or Patent Number (s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number (s)**

**Patent Number (s)**

08032711	09056975	09413222
08554630	09238340	09966843
08769947	09378143	09974544

09991378	10078282	5986796
10012092	10082397	6040937
10076224	5835255	6055090

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

# 18

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 720.00

Method of Payment:  
Deposit Account

Enclosed ☐

Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number: # 02-2666

Authorization to charge additional fees:

Yes ☒

No ☐

**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

James H. Salter

35,668

Name of Person Signing

Registration No.

Signature

Date

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231